STATEWIDE INFORMATION TECHNOLOGY PROCEDURE

Statewide Procedure: Establishing and Implementing Statewide Information Technology Policies and Standards

Short Title: Enabling IT Procedure

Effective Date: July 24, 2006

Approved: Richard B. Clark

I. Purpose

This procedure defines the steps necessary to establish and implement statewide IT policies and standards.

II. Definitions

Subject matter experts (SMEs): Subject matter experts are stakeholders recruited to assist in the development of statewide IT policies and standards. They are responsible for researching and contributing content and advice to policy and standard development.

Reviewers: The Information Technology Board, the Legislative Finance Committee, the Governor's Office through the Office of Budget and Program Planning, advisory groups and state agencies are responsible for reviewing policy and standards and advising the Chief Information Officer (CIO) on policy and standards issues. Advisory groups include but are not limited to:

- eGovernment Advisory Council
- 9-1-1 Advisory Council
- Montana Land Information Advisory Council
- Statewide Interoperability Executive Council
- Information Technology Managers' Council

Development Team: Persons assigned to develop a policy, standard, procedure or guideline.

Policy Manager: The Policy Manager is responsible to ensure each statewide IT policy and standard is properly developed, reviewed and implemented. The Policy Manager will also be the contact for any questions or change requests regarding the policy.

Interim: Interim means a policy, standard, procedure, guideline, etc. that has been developed, reviewed and implemented using an abbreviated version of the Enabling IT Procedure due to urgent business or technical requirements. An

interim document may not meet all requirements and therefore the scheduled review date will typically be less than twelve months from effective date.

Refer to the [Statewide Information Technology Policies and Standards Glossary](#) for a complete list of definitions.

III. IT Policy and Standards Procedure

Section III.A. (below) explains the process that is followed when a situation arises that requires a policy to be effective immediately.

Sections III.B. through III.E. explain the normal process for establishing and implementing policies and standards. Figure 1 illustrates the steps in the process. There are four phases: Development; Review; Implementation and Notification; and Maintenance and Monitoring. The details of each phase follow.

A. Interim Policies or Standards

The CIO shall designate and approve interim policies or standards where business and technical needs do not allow time and resources to perform all activities of the Development and Review Phases.

Some activities may be curtailed or skipped, including but not limited to stakeholder analysis, risk analysis, research, cross-agency participation, and full review. The Policy Manager working with the CIO will determine the specific activities and extent of review for each interim policy or standard based upon urgency, risk and other business requirements.

These policies and standards shall be labeled "interim", and shall be returned for consideration and review within twelve months of the Effective Date.

All activities of the Implementation and Notification and Maintenance and Monitoring Phases are completed for interim policies and standards.

Statewide IT Policy and Standard Development Procedure

Development Phase

1. Action Request received

2a. CIO determines need for policy or standard

Is requested policy needed? — YES → **2b.** Policy or standard is prioritized → **2c.** Policy Manager is assigned

NO → Requestor Notified

6. Proceed to Review Phase ← NO — Are changes to the draft needed? ← **5.** CIO, DOA Director and legal staff review draft policy or standard ← **4.** Development team drafts policy or standard ← **3.** Development team is identified

Are changes to the draft needed? — YES →

Review Phase

1. Draft reviewed by:
- ITB
- LFC
- Governor's Office/ OBPP
- Applicable Advisory Boards
- State Agencies
- Public

→ **2.** Comments are collected and reviewed → Are changes to the draft needed? — YES → (back to Development Phase 4)

NO → **3.** CIO and DOA Director Approve policy or standard - Proceed to Implementation & Notification Phase

Implementation & Notification Phase

1. Policy or Standard and review comments are posted on DOA website, notifications made → **2.** CIO coordinates with agencies to implement policy or standard with procedures or guidelines → **3.** Maintenance and Monitoring activities begin

Maintenance & Monitoring Phase

1. Policy or Standard details entered into database →

1. Ongoing monitoring and tracking

2a. CIO approves or denies exception requests on an individual policy or standard basis

2b. Change requests are handled via policy or standard requirements

3. Reviews are performed via policy or standard requirements
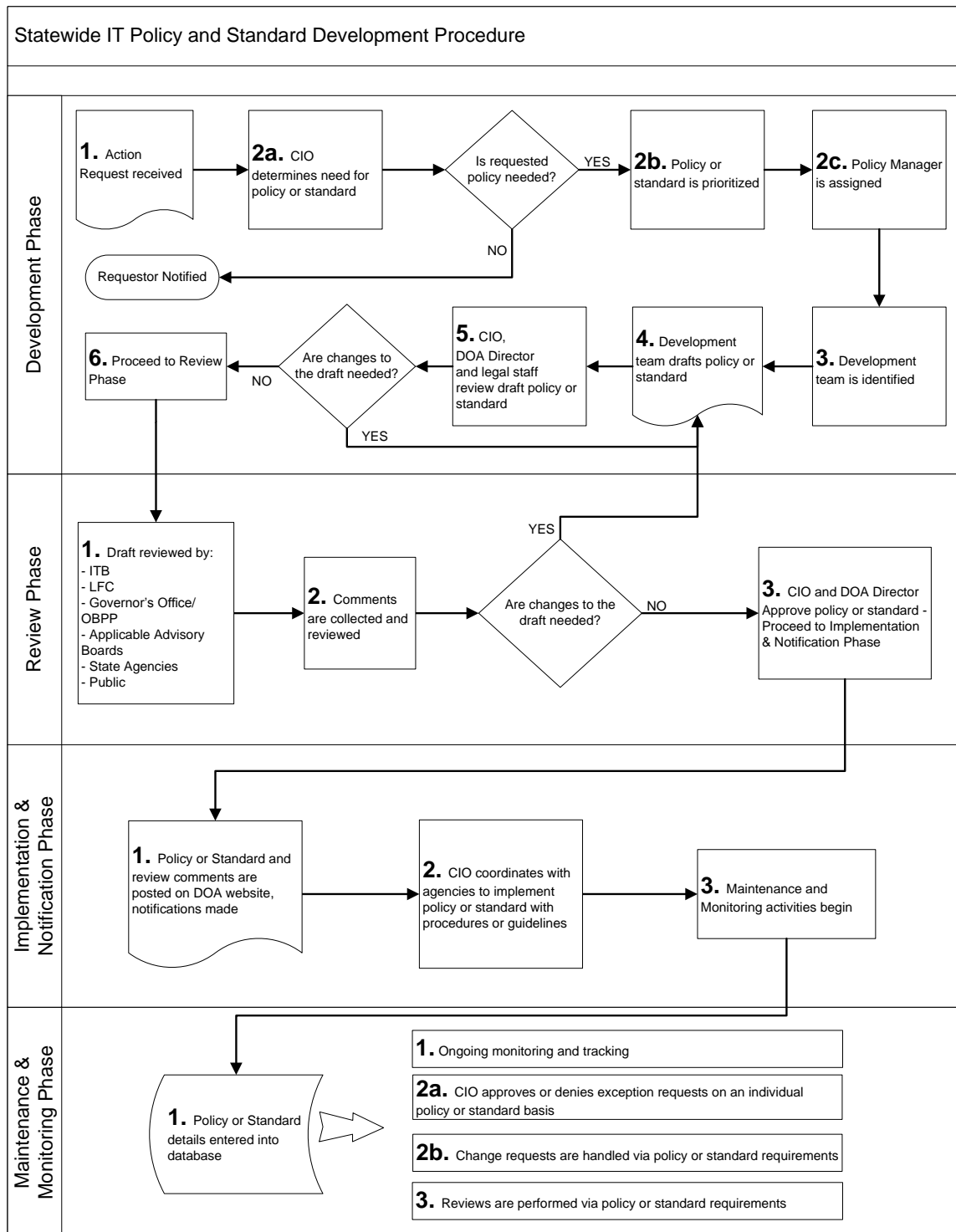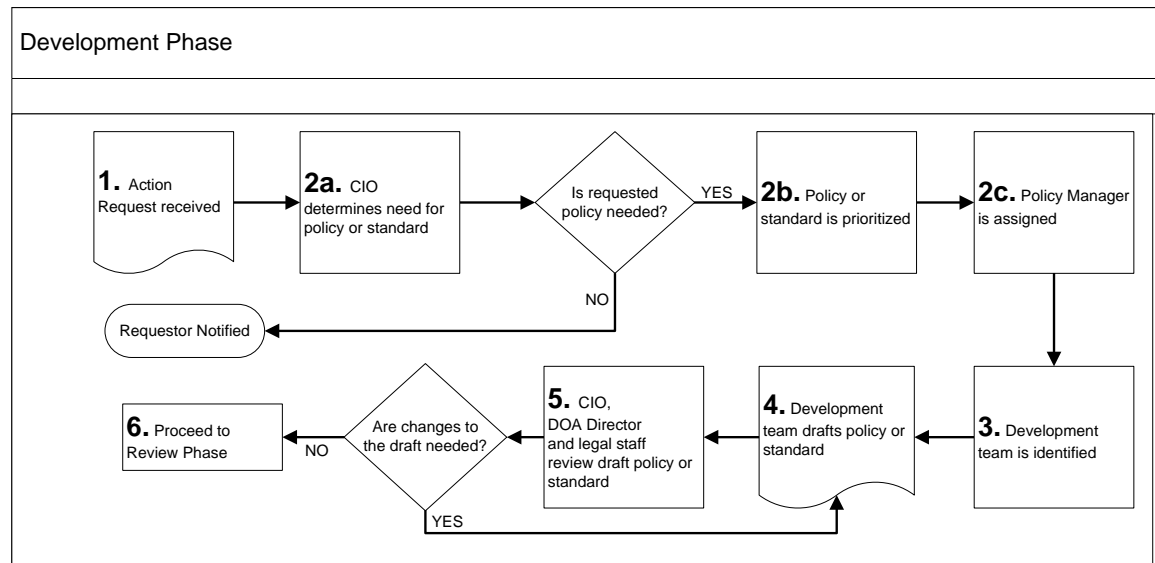
Figure 1 – Statewide IT Policy and Standard Development Procedure

B. Development Phase

The full Development Phase activities are:

1. Individual agencies or affected entities complete and submit the Action Request form to the CIO at ITSD Service Desk

2. The CIO:

   a. Reviews the request and determines if a policy or standard is needed based on statutory requirements, business needs and the State of Montana Information Technology Strategic Plan

   b. Assigns a high, medium or low priority based on the Enterprise IT Management Audit and statutory requirements

   c. Assigns the Policy Manager who is responsible for the development, review and implementation of the policy or standard

3. Policy Manager identifies Development Team members and subject matter experts (SMEs) to assist in development of the draft policy or standard

4. Development Team develops draft policy or standard

5. CIO, Department of Administration (DOA) director and legal staff review draft policy or standard

6. Draft policy or standard proceeds to Review Phase or is returned to the Development Team for further work
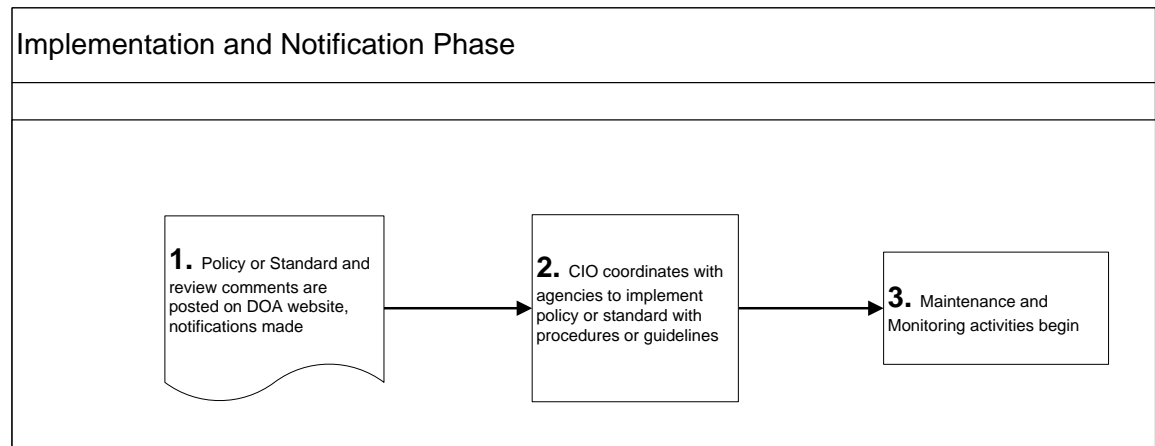
C. Review Phase
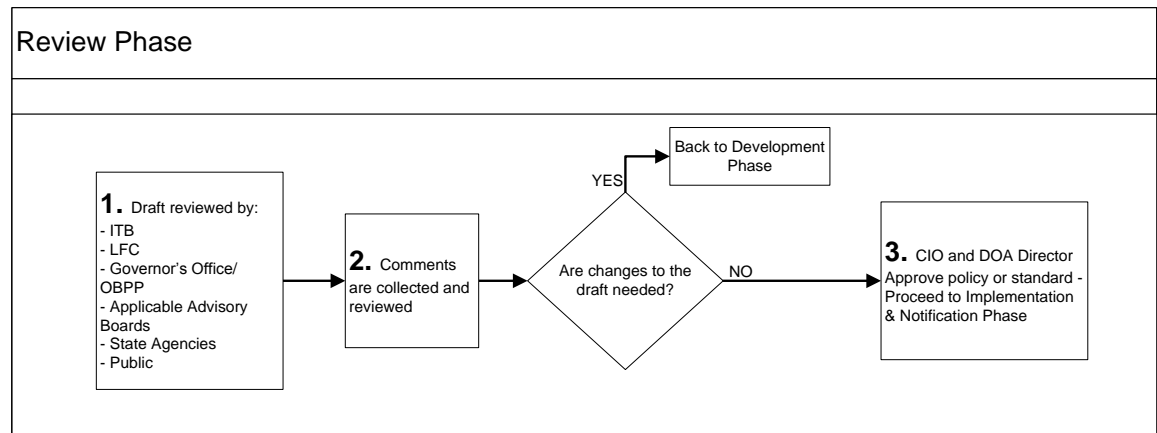
Review Phase

The full Review Phase activities are:

1. Draft policy or standard is reviewed by:

    - Information Technology Board (ITB)

    - Legislative Finance Committee (LFC)

    - Governor's Office/Office of Budget and Program Planning (OBPP)

    - Applicable advisory boards

    - State agencies

    - Public

2. CIO collects comments for CIO and Director review

3. CIO and DOA Director (a) approve the draft policy or standard and it moves forward to Implementation and Notification Phase, and it is no longer draft; or (b) it returns to the Development Team for further work.

D. Implementation and Notification Phase

Implementation and Notification Phase

1. Policy or Standard and review comments are posted on DOA website, notifications made → **2.** CIO coordinates with agencies to implement policy or standard with procedures or guidelines → **3.** Maintenance and Monitoring activities begin

The Implementation and Notification Phase activities are:

1. Policy or standard and review comments are posted to the Enterprise Information Technology Policies website. Legislative Audit Committee (LAC), Legislative Finance Committee (LFC), agencies and affected entities are notified

2. Policy or standard implementation is coordinated with the development of procedures or guidelines

3. Policy or standard proceeds to the Maintenance and Monitoring Phase

E. Maintenance and Monitoring Phase
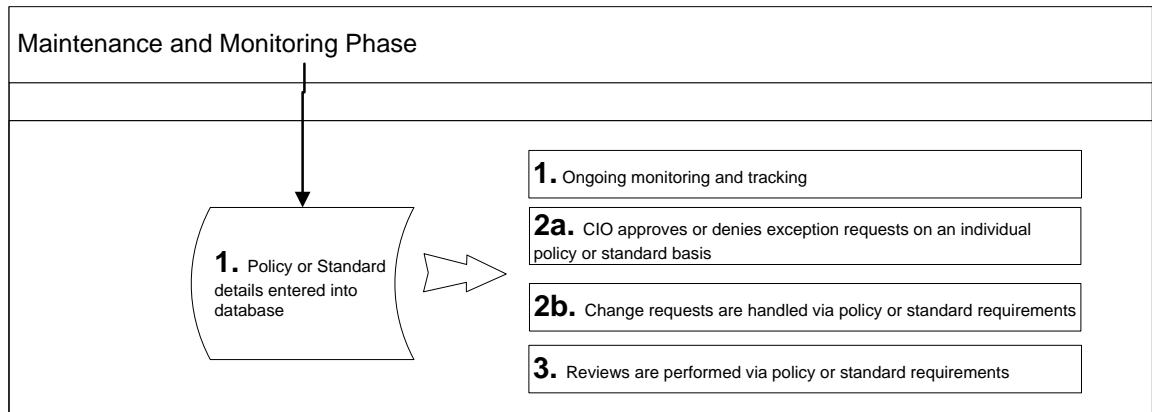
The Maintenance and Monitoring Phase activities are:

1. CIO staff collects policy or standard management information provided by the agencies, enters the information into a data base, and monitors the data base to determine policy or standard effectiveness and compliance

2. Requests for exception or changes may occur during this phase, and each request is processed as described below:

   a. Exception Requests

   Department heads may request an exception from a policy or standard by completing and submitting an Exception Request form to the CIO at ITSD Service Desk.

   The CIO may grant exceptions to a statewide IT policy or standard if it is determined to be in the best interest of the state. The CIO may consult with technical experts to determine the merits of the request. The CIO may specify exception conditions including a time limit for the exception or a scheduled review date.

   The CIO shall maintain written documentation and inform the Information Technology Board, the Office of Budget and Program Planning, and the Legislative Finance Committee of all exception requests (approved and denied) and action taken.

   b. Change Requests

   Material changes to statewide IT policies or standards may be initiated by:

   - a scheduled review,

- an event such as a statutory change or,

- an [Action Request](#).

The following steps will be taken to manage changes:

- An [Action Request](#) form describing the change will be completed by the person requesting the change and submitted to the CIO at [ITSD Service Desk](#)

- The CIO will evaluate the requested change to determine its merit, and approve or deny the change
  - If the change is denied, the requestor will be notified
  - If the change is approved, the policy or standard will be prioritized and scheduled for return to the Development Phase

- The requestor will be updated while these steps are in progress

Non-material changes will be scheduled with a lower priority and implemented by the CIO staff.

3. CIO staff performs policy and standard reviews according to the scheduled review date

IV. Enforcement

Policy and standard enforcement will be defined in each policy, standard or procedure.

V. Closing

For questions or comments about this instrument, contact the Information Technology Services Division at [ITSD Service Desk](#), or:

Chief Information Officer
PO Box 200113
Helena, MT 59620-0113
(406) 444-2700
FAX: (406) 444-2701

VI. Cross-Reference Guide

A. State/Federal Laws

- [2-17-515, MCA](#). Granting exceptions to state agencies;

- [2-17-516, MCA](#). Exemptions – university system – office of public instruction – national guard;

- [2-17-517, MCA](#). Legislative and judicial branch information sharing.
- [2-17-546](#), MCA. Exemptions of law enforcement telecommunications system.
- [5-12-205(4), MCA](#), Legislative Finance Committee

B. State Policies (IT Policies, MOM Policies, ARM Policies)
- [ARM 2.12.206(3)](#) Information Technology Services
- [ARM 2.2.205(3)](#) Reporting Exceptions.
- [ARM 2.12.207(3)](#) Reporting Appeals
- Policy for Establishing and Implementing Statewide Information Technology Policies and Standards

C. Supporting IT Procedures or Guidelines
- Procedure for Development of Statewide Information Technology Procedures and Guidelines (pending)

VII.   Administrative Use

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Proponent:	State of Montana Chief Information Officer
Version:	1.1
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Change & Review Contact:	ITSD Service Desk
Review:	Event Review: Any event affecting this architecture paper may initiate a review. Such events may include a change in statute, key staff changes or a request for review or change.
Scheduled Review Date:	July 1, 2012
Last Review/Revision Date:	September 5, 2008
Changes:	September 5, 2008: Non-material changes – • Corrected URLs • Corrected contact information • Added document control field codes